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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/042,316	01/11/2002	Osamu Shimomura	HAN 130	4413

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RABIN & Berdo, PC  
1101 14TH STREET, NW  
SUITE 500  
WASHINGTON, DC 20005

EXAMINER

NGUYEN, CAM LINH T

ART UNIT	PAPER NUMBER
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2171

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DATE MAILED: 06/21/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/042,316

Applicant(s)

SHIMOMURA ET AL.

Examiner

CamLinh Nguyen

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 11 January 2002.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-6 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 11 January 2002 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☒ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1 – 6 are rejected under 35 U.S.C. 102(e) as being anticipated by Numao et al (U.S. 6,647,388).

♦ As per claim 1,

Numao et al (U.S. 6,647,388) discloses a document management system for limiting user access to a registered document, comprising:

- “Wherein access controlling information including at least specific data is added to a document to be registered and said document to be registered is registered, when said document to be registered includes said specific data” See Fig. 1, col. 8, lines 10 – 25, lines 60 – 63, Fig. 2, col. 9, lines 33 – 40. In particular:
  - “Specific data” corresponds to the “policy description” 140 that is associated with the resource (See the abstract).
  - “Said document to be registered is registered” See Fig. 1, col. 8, lines 10 – 25. The resources are stored in the database 210, under control of data

management sub system 220. The documents had to be registered in order for the sub management system provides the search for users.

- " Access to said document is limited in accordance with contents of added access controlling information, when the access to said document is thereafter requested" See col. 8, lines 38 – 44, col. 9, lines 61 – col. 10, lines 3.

◆ As per claim 2,

- " Said access controlling information includes not only said specific data but also information indicating how the access to said document is limited and, when the access to said document is requested, it is defined by referring to said information, how the access is limited" See Fig. 6, col. 11, lines 35 – 42, col. 15, lines 11 – 35. Numao teaches that the rule descriptions specify how the user can access the information. The system must check for the condition if the document can be converted to another format for display to user.
- Numao also teaches that the document can be accessed in a certain time only (col. 17, lines 1 – 9).

◆ As per claim 3,

- " Wherein it is defined whether or not the document ... includes said specific data at any one of time when said document is registered ... and time when the access to said document is request" See Fig. 4, 401, col. 9, lines 61 – 65.

◆ As per claim 4,

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- "Wherein said access controlling information includes information to specify a person to be permitted to access with limitation" See col.8, lines 30 – 46, Fig. 3, 5, col. 11, lines 1 – 4.

♦ As per claim 5,

- "Wherein said access controlling information includes a valid term in which the access is limited" See col. 6, lines 23 – 37, col. 17, lines 3 – 9.

♦ As per claim 6,

- "Said controlling information is provided in a single record comprising a plurality of fields, includes ID information for specifying said record, and said record is added to the document by relating said ID information to the document" See Fig. 6, wherein the Access control policy rules are disclosed. The rule includes plurality of fields (subject, object, conditions). The ID information corresponds to the object name or the target document to be accessed.

***Conclusion***

3. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Bapat et al (U.S. 6,236,996) discloses a system for restricting database access to managed object information using a permissions table that specifies access rights to the managed objects.
- Jenkins et al (U.S. 6,678,682) discloses a method for enterprise access management control.

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- Schneider et al (U.S. 6,105,027) discloses techniques for eliminating redundant access checking by access filters.

4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to CamLinh Nguyen whose telephone number is 305-1951.

The examiner can normally be reached on Monday-Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic can be reached on 308-1436. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

LN

  
WAYNE AMSBURY  
PRIMARY PATENT EXAMINER